DOCUMENT RESUME

ED 403 485 CE 073 504

TITLE Practitioner States.
PUB DATE 96
NOTE 32p.; In: Academy of Human Resource Development (AHRD) Conference Proceedings (Minneapolis, MN, February 29-March 3, 1996); see CE 073 480.
PUB TYPE Speeches/Conference Papers (150) -- Reports - Research/Technical (143)

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Adult Education; Adult Programs; Case Studies; *Corporate Education; Demonstration Programs; *Health Promotion; Incentives; Instructional Development; Job Satisfaction; *Labor Force Development; Locus of Control; Models; Organizational Climate; *Performance Technology; Positive Reinforcement; Productivity; *Program Development; Teacher Attitudes; Teamwork; Trainers; *Training Methods; Work Environment
IDENTIFIERS *Human Resources Professionals

ABSTRACT

This document contains four papers presented at a symposium on practitioner states moderated by Kay Bull at the 1996 conference of the Academy of Human Resource Development (AHRD). "The Effect of Locus of Control and Performance-Contingent Incentives on Productivity and Job Satisfaction in Self-Managing Teams" (Bonnie E. Garson, Douglas Stanwyck) discusses a simulation of employees working in self-managed teams that demonstrated the positive effects of incentives on workers with an external locus of control. Michele A. Hamil's paper "Creating Healthy Workplaces: A Model for Developing Corporate Wellness Programs" presents a case study of an exemplary corporate wellness program and review of the literature on human resource development (HRD) and corporate wellness interventions. "Inside the Heads of HRD Practitioners: How Do They Plan?" (Sharon J. Korth) outlines a highly iterative, paradoxical planning process that was identified through a qualitative study of the planning practices of five experienced HRD practitioners. "Instructional Thoughts of HRD Practitioners" (Theodore Lewis) reports the results of survey of a random sample of 350 HRD practitioners, which documented that HRD practitioners' instructional thoughts are mediated by concerns for organizational productivity and that their beliefs are shaped by both humanistic and corporatist values. Each paper contains references. (MN)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED 403 485

SYMPOSIUM
[23] PRACTITIONER STATES

Chair: Kay Bull, Oklahoma State University

Effect of Locus of Control and Performance-Contingent Incentives on Productivity and Job Satisfaction in Self-Managing Teams
Bonnie E. Garson, Southern College of Technology
Douglas Stanwyck, Georgia State University

Creating Healthy Workplaces: A Model for Developing Corproate Wellness Programs
Michele A. Hamil, Northern Illinois University

Inside the Heads of HRD Practitioners: How Do They Plan?
Sharon J. Korth, Xavier University

Instructional Thoughts of HRD Practitioners
Theodore Lewis, University of Minnesota

Academy of Human Resource Development
1996 Conference
Minneapolis, MN
February 29-March 3, 1996

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☐ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

PERMISSION TO REPRODUCE AND DISSEMINATE THIS MATERIAL HAS BEEN GRANTED BY

M Hamil D Garson
S Korth T Lewis

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

BEST COPY AVAILABLE

CE 073 504

The Effect of Locus of Control and Performance-Contingent Incentives on Productivity and Job Satisfaction in Self-Managing Teams

Bonnie E. Garson, Ph.D
Southern College of Technology

Douglas Stanwyck, Ph.D
Georgia State University

A simulation of employees working in self-managed teams was used to test the effects of locus of control and performance-contingent incentives on productivity and job satisfaction. The only performance effect was that externals in the incentive condition outperformed externals without incentive. Internals were more satisfied with type of work (i.e., self-managing teams), supervisors, and coworkers. Implications for employee involvement approaches are discussed, and recommendations for further research are proposed.

The global marketplace has created a "new age" for American industry. To survive and prosper, the current trend in American business is to focus on quality and value-added customer service. To accomplish this goal, American business is simultaneously rightsizing, restructuring its organizations, and placing new demands on its employees. Organizations are moving toward more employee involvement through the use of self-managing teams. Bureaucratic structures with manager control and employees in fragmented jobs seem to be on the way out.

Employee involvement (EI) has become a popular management approach to obtaining increased productivity and quality from employees. In a survey of the 1990 Fortune 1000 organizations conducted by the Center for Effective Organizations, 313 respondents reported the two biggest reasons for implementing employee involvement were to improve quality (75%) and productivity (66%) (Lawler, Albers Mohrman, & Ledford, 1992). EI advocates suggest that among the EI applications (e.g., job enrichment, quality circles), self-managing teams may be effective in increasing productivity and job satisfaction, the latter of which is though to affect performance quality (Lawler, 1994).

The new management paradigm of employee involvement will be expecting employees to exhibit competencies in self-direction and team skills (Blackburn & Rosen, 1994). According to Lawler (1994), however, transitions to participative approaches have been poorly conceived, have used unworkable approaches, and are destined to fail. Krishnan, Shani, and Grant (1993) reported that many organizations fail due to problems in organizational design and implementation. In addition, there is little research that addresses the identification, selection, and training of employees who will be successful participants in self-managing work groups. Implementing employee involvement will require some changes in human resource management and development practices. According to Blackburn and Rosen (1994), traditional selection procedures may need some rethinking based on the new demands of employee involvement (e.g., self-direction, self-development, and team-development skills). In addition, critical to employee commitment to productivity may be through the use of organizational performance rewards. These rewards ensure employees in a stake in organizational performance. The respondents to the 1990 Fortune 1000 survey indicated that team incentives, profit sharing, gainsharing and stock ownership were the most popular approaches to performance based rewards.

The literature indicates that the success of work design and autonomous work groups may be related to individual worker personality. Personality is a relevant factor in understanding human behavior according to the pioneering psychologists Allport and Cattell (Pervin, 1985). Research findings suggest that personality attributes affect workers' preference for, or dissatisfaction with, autonomous work situations (Hackman & Lawler, 1971, Herzberg, 1968). Various personality traits affect an individual's willingness to accept more responsibility, to work in autonomous situations, and to enjoy job satisfaction. The purpose of this study was to determine if an employee's locus of control and a performance contingent-incentive affect productivity and job satisfaction in self-managing teams.

© Copyright, Bonnie E. Garson, Ph.D, 1995

Locus of Control

Locus of control (LOC) describes the extent to which a person believes that his or her behavior has a direct impact on the consequences of that behavior. The consequences usually take the form of reinforcements, such as rewards or gratification. Rotter (1966) described the people who believe that they can control what happens to them as having an internal locus of control (internals). In contrast, persons with an external locus of control (externals) tend to think that what happens to them is a function of luck, fate or powerful others. They perceive little or no connection between their own behavior and subsequent events.

Although LOC has been studied extensively, relatively few studies have been conducted in organizational settings, and the few studies have addressed behavior in individual jobs rather than in teams. Findings suggest a positive relationship between a perceived internal locus of control and a preference for responsibility, autonomy, role ambiguity, and the ability to process complex tasks with job satisfaction (Abdel-Halim, 1980; Organ & Greene, 1974; Spector, 1982, 1986).

In a review of the literature, Spector (1982) found locus of control to be an important variable for the explanation of behavior in organizations. The studies indicated that locus of control is related to motivation, effort, performance, satisfaction, compliance with authority, and supervisory style. Numerous studies have shown that internals perform better than externals in job situations that require initiative, responsibility, autonomy, and problem-solving (Abdel-Halim, 1980, Rizzo, House & Lirtzman, 1970). Organizational research suggests that personal control affects performance and greater attempts at self-management.

Locus of Control and Job Satisfaction

The general trend in research suggests a linkage between locus of control with job satisfaction and productivity. The job redesign model suggests that enriching jobs and making them more autonomous will increase performance and satisfaction (Hackman & Lawler, 1971; Hackman & Oldham, 1980). Research in work design suggests that workers experience high levels of satisfaction and productivity when their personal needs are matched with the technology for producing goods and services (Cummings & Huse, 1985).

Some studies have suggested that internals are more satisfied than externals under certain job conditions (Lee, 1990; Mitchell, Smyser, & Weed, 1975; Organ & Greene, 1974; Spector, 1982, 1986). Pryer and Distefano (1971), for example, found that nurses who were externals were less satisfied in their job than nurses with an internal locus of control, and Organ and Greene (1974) reported a significant correlation between internality and job satisfaction among scientists and engineers. Runyon (1973) studied the relationship between subordinates' locus of control, satisfaction, and different types of supervision and reported that internals were significantly more satisfied with a participative supervisory style than externals. Externals were significantly more satisfied with directive supervision than internals. The work related studies that have focused on satisfaction and locus of control, however, have been limited to individual job situations and have not measured this variable in self-managing groups.

Locus of Control and Performance-Contingent Incentives

Studies suggest that internals are more likely to respond to monetary rewards since they believe their efforts will secure the reward. Externals believe that outcomes are largely uncorrelated to their own actions, so that rewards will be beyond their control (Hollenbeck & Brief, 1987). For example, Kren (1992) investigated the role of locus of control in moderating the impact of performance-contingent incentives and participation on performance. The results based on computer-based business game indicated that locus of control moderated the performance effects of both participation and incentives. When incentives were present, internals performed better than externals. When incentives were not present, internals performed poorly compared to externals.

Self-Managing Teams

Self-managing teams evolved as a major application of socio-technical systems (STS) approach to organization redesign. The STS approach proposes to make the best match between the organization's system requirements and employees' social and psychological needs, which will result in an increase in productivity and worker satisfaction. The seminal studies in socio-technical systems theory took place in the coal mines outside of London during the late 1940s and early 1950s (Trist & Bamforth, 1951). Autonomous work teams replaced traditional supervision and individual task performance. Socio-technical designers found that autonomous work groups could develop a capacity for self-management beyond the best supervisor's powers of control. According to Van de Ven and Joyce (1981) the more the group can control its variance, the better the results and the higher the member satisfaction.

STS theorists have suggested the rationale for and effects of self-managing teams in terms of individual psychological reactions. Furthermore, it has been suggested that the underlying assumption for creating small groups (8-12 coworkers) is intrinsically motivating and enhances employee satisfaction, resulting in improved group performance and reduced labor turnover (Wall, Kemp, Jackson, & Clegg, 1986).

The focus of STS is to improve productivity and enrich workers through a job design process which integrates the employee, technology, and environment. The job characteristics model (Hackman & Oldham, 1976) has been applied to the self-managing teams concept, whereby employees perform interrelated tasks, have responsibility for a whole product or service, and make decisions about task assignments and work methods. In many such teams, the employees set production goals that support overall corporate goals. They may be responsible for support services such as maintenance, purchasing, and quality control, and may be cross trained to perform all jobs in the team. Team performance is usually rewarded or pay is based on individual knowledge and skill (Lawler, 1994). According to STS, the self-managing team design meets both the needs of a dynamic organization and the social and psychological needs of the employee. Based on the Hackman and Oldham model (1976), employees who have high social needs and high needs for growth and learning are a good match for the self-regulating team.

One of the major criticisms of STS approach is that it fails to predict clearly how individual differences may affect participation in work teams. Blood an Hulin (1967) found systematic differences between satisfied workers and dissatisfied workers in jobs structured for autonomy. Jobs that provide for greater responsibility, challenge, and autonomy may have negative effects on some workers. This was explained based on expectancy theory which states that motivation to perform is based on the belief that effort will lead to performance and that performance will lead to a valued reward. Expectancy theory suggests that work that allows workers to set goals, determine the methods for reaching these goals, and obtain meaningful feedback on their performance is more conducive to intrinsically motivated workers than to those who are extrinsically motivated (Vroom,1 960)

There is a dearth of longitudinal research tracking self-directed teams and the variables which contribute to their success or failure. In addition, although personality and job satisfaction have been studied extensively, they have not been addressed as variables which may impact the productivity of individuals in work teams. The present study investigated the effects of locus of control and performance-contingent incentives on productivity and job satisfaction in self-managing teams. Consistent with the work of Hollenbeck and Brief (1987) and Kren (1992), we hypothesized that internals having a performance incentive would outperform both externals with an incentive and internals without an incentive, and that externals with incentive would outperform externals without incentive. Expectancy theory led us to hypothesize that internals would report more job satisfaction than externals (independent of incentive), and that having an incentive would lead to greater satisfaction for both internals and externals.

Methods

Subjects. Subjects included 48 (employed, 94%) part-time graduate students and 115 government employees from three southeastern states. Subjects mean age was 40 (SD=8.98); 90 (55%) were female and 73 (45%) male, and their work experience ranged from two to 40 years (mean = 18.22, SD = 9.77). Participants' self-reported job classifications included executives (1%), managers (32%), professionals (41%), clerical (12%), and other (14%).

Procedure. All subjects completed the Nowicki-Strickland Adult Internality-Externality Scale (ANSIE: Nowicki & Strickland, 1974), and a brief demographic questionnaire. Following Nowicki and Duke (1974) persons with scores of nine or higher were considered externals (n = 72, or 44% and those scoring eight or lower were considered internals (n = 91, or 56%). Subjects were assigned randomly to all-internal or all-external teams of four, and half the teams were randomly designated to be given an incentive based on performance. Each team selected a supervisor. Teams were then introduced to the Nesting Box Game (Sterling Institute, 1972), which simulates a self-managing team responsible for planning, organizing, and coordinating production of nesting boxes, as well as for filling orders from various customers. Each team was given box patterns, "machines" (scissors and tape) and "materials" (colored paper) to produce sets. The actual production period was preceded by a 25-minute planning period used by the groups to organize, establish a basic plan of action, and to practice a full production cycle. The game covers a period of seven "days" (21 minutes total), during which teams deal with the scheduled production goals as well as with various unscheduled obstacles (e.g., equipment breakdown, rush orders). Additional stress is created by the (unscheduled) one-day absence of one team member and the (scheduled) two-day leave of another. Immediately following the game, subjects completed the Job Descriptive Index (Smith, Kendall, & Hulin, 1969), to assess their job satisfaction, while the game administrator inspected the completed and delivered boxes and recorded the group's productivity score using the game's scoring system. We used only three subscales of the JDI--with type of work, with supervisor, and with coworkers.

Results

Productivity. Mean productivity scores of the four types of teams were as follows: internals with incentive, $\bar{}$ = 83.42, SD = 42.77; internals without an incentive, $\bar{}$ = 80.33, SD = 26.25; externals with incentive, $\bar{}$ = 98.60, SD = 55.78; and externals without incentive, $\bar{}$ = 54.11, SD = 22.14. The only comparison that reached statistical significance was that of externals with incentive and externals without incentive ($F = 4.99$, $p = .039$). The unit measure for these tests was the team, not the individual.

Job Satisfaction. Data from the three JDI subscales were analyzed using multivariate analyses of variance. The multivariate F for the main effect of LOC (but not for incentive) was significant ($F = 5.71$, $p=.001$), and the univariate tests showed significant Fs for all three subscales (satisfaction with work, $F = 5.11$, $p = .03$; satisfaction with supervisor, $F = 14.81$, $p >.001$; satisfaction with coworkers, $F = 6.77$, $p = .01$). When internals with incentive and externals with incentive were compared, the main effect of LOC also reached significance ($F = 3.03$, $p =.036$), but two of the three univariate tests failed to reach significance. A significant difference was found only for satisfaction with supervisors ($F = 9.07$, $p = .004$).

Discussion

In the present study the production performance of internals with incentive did not exceed that of externals with incentive or of internals without incentive, as we had hypothesized. This result is inconsistent with research suggesting that internals assume a proactive orientation to the environment and expend effort to secure incentives (e.g., Anderson, 1977; Kren, 1992). Our finding is also inconsistent with previous research showing that internals perform better in work environments with characteristics similar to those of the self-managing teams (e.g., Abdel-Halim, 1980; Rizzo et al., 1970). Although some research has indicated that intrinsically motivated workers may not respond positively to external rewards (Lawler, 1986), and it might be assumed that internals would generally be more likely to be intrinsically motivated than externals, the relationship of these two constructs is not clear enough to provide an explanation for the present findings. An important difference between the present research and the previous research cited, however, is that previous researchers have investigated the performance of individuals while the present research used teams. A great deal of social psychological research has demonstrated that people behave differently in group situations than when alone, and our findings may represent additional evidence for that phenomenon. If so, then researchers' recommendations for application in the workplace

may need to be reconsidered if their basis was research with individuals rather than work with teams in settings more comparable with realistic work environments.

Our findings that externals with incentive significantly outperformed externals without incentive, especially when compared with the performance of internals, is also inconsistent with previous research. However, questions may be raised about measurement validity, especially for persons who score in the external direction. For example, (Davis, 1970) divided externals into "defensive" and "congruent" categories, suggesting that defensive externals may avoid competition in situations in which their status is not threatened, but become highly competitive, striving, and ambitious when placed in competitive achievement situations, that is, when their status is at risk. Rotter (1975) speculated that some persons may express external attitudes on a LOC instrument as a defense or rationalization for expected failure, but behave like internals in a competitive situation. Rotter stated that instruments more sensitive than generalized LOC scales may be necessary to predict behavior in specific situations.

One recommendation issuing from the present study, then, is that similar studies be conducted that use a multidimensional LOC instrument that has been designed for organizational settings. Some researchers have developed such instruments, but they have not been widely used. Levenson (1974), for example, developed a multidimensional LOC scale that divides the external dimension into "powerful others" and "chance" subcategories, Pareek(1992), developed a similar multidimensional instrument to measure LOC in an organizational context, using items such as "My success or failure depends on those who work with me," and "My success or failure in this organization is a matter of luck." Use of a multidimensional LOC instrument designed for and validated in an organizational environment will allow more sensitive assessment of this construct, and is likely to generate more useful results when applied in realistic contexts. We therefore recommend that researchers compare both individual and group performance in realistic settings using a multidimensional instrument. Such research may increase the external validity of findings.

It is also recommended that longitudinal studies be conducted comparing individual performance and group performance using a locus of control instrument designed for organizational research. The potential benefit of such research may increase the external validity of the findings. More consistent data may suggest practical application of results in the workplace. For example, data may be used to assist Human Resource practitioners in the design of incentive programs. This may prevent loss of dollars resulting from ill-conceived incentive programs that don't achieve their objectives. It is also suggested that employee locus of control be tested prior to placement of employees in enriched job designs such as self-managing teams. Proper placement may reduce costs usually attributed to absenteeism and turnover and may increase revenue due to higher productivity.

Self-managing groups of internals who received a performance-contingent incentive were significantly more satisfied with their supervisor than groups of externals who received an incentive. These results are consistent with findings reported by Mitchell et al., 1975 and Spector, 1982. However, there was not a significant difference in satisfaction with work and with coworkers. Some findings indicate that internals performing in responsible and challenging jobs are more satisfied with work and coworkers than externals (Organ & Greene, 1974; Spector, 1986). Self-managing groups represent a job redesign incorporating responsibility and challenge. The present research failed to support findings that internals in responsible and challenging jobs are more satisfied with work and coworkers than externals in self-managing groups. One possible explanation for the different results is that the present research examined group behavior and previous research has focused on individual work behavior. It may be that internals prefer to work independently, that is, being in control of the consequences of their own actions may be more satisfying than being part of a group and relying on the interdependence of others to achieve goals. Consequently, internals may not be very satisfied in group situations. It is recommended that this study be replicated and expanded to include qualitative feedback from internals and externals regarding their satisfaction in self-managing groups versus independent jobs.

Prior research has suggested that internals will be more satisfied in autonomous job situations where performance is rewarded (Mitchell et al., 1975; Spector, 1986). The results of the present study found no significant difference between self-managing groups of internals who received a performance-contingent incentive and self-managing groups of internals who did not receive an incentive. One possible explanation is that the satisfaction for internals comes from within and is caused by challenging work rather than an external incentive. More research is needed in this area to examine the relationship of internal locus of control and performance-contingent incentives with job satisfaction in self-managing

groups. Further study may provide clarification as to the cause of the satisfaction, that is, intrinsic motivation, the job design (group work vs independent work), and/or the incentive.

Research also suggests that externals tend to be more alienated from the work setting, less satisfied with their job, and do not respond to incentives (Organ & Greene, 1974; Spector, 1982). The present study indicated no significant difference in satisfaction between self-managing groups of externals receiving an incentive and groups of externals not receiving an incentive. This result is consistent with previous research findings.

It is recommended that future research compare the job satisfaction of employees in independent jobs and in self-managing groups using both qualitative and quantitative methods. The benefit of using a variety of research methods may result in more consistent findings in the area of locus of control and job satisfaction. Consistent findings may encourage practical application in restructuring organizations. Designing jobs that are satisfying to employees may reduce absenteeism and turnover that are costly to organizations.

References

Abdel-Halim, A. (1980). Effects of person-job compatibility on managerial reaction to role ambiguity. Organizational Behavior & Human Performance, 26, 193-211.

Anderson, C. R. (1977). Locus of control, coping behaviors, and performance in a stress setting: A longitudinal study. Journal of Applied Psychology, 62, 446-451.

Blackburn, R. & Rosen, B. (1994). Total quality and human resources management: Lessons learned from Baldridge award-winning companies. The Academy of Management Executive, 7, 49-66.

Blood, M. R. & Hulin, C. L. (1967). Alienation, environmental characteristics, and worker responses. Journal of Applied Psychology, 51, 284-290.

Cummings, T. G. & Huse, E. F. (1985). Organizational development and change. New York: West Publishing Company.

Davis, D. E. (1970). Internal-external control and defensiveness. Unpublished doctoral dissertation, Kansas State University.

Goss, A. & Morosco, T. E. (1970). Relation between a dimension of internal-external control and the MMPI with an alcoholic population. Journal of Consulting and Clinical Psychology, 34, 189-192.

Hackman, J. & Lawler, E. (1971). Employee reaction to job characteristics. Journal of Applied Psychology, 55, 259-286.

Hackman, J. R. & Oldham, G. R. (1976). Motivation through the design of work: Test of a theory. Organizational Behavior and Human Performance, 15, 250-270.

Hackman, J. R. & Oldham, G. R. (1980). Work redesign. Reading: Addison-Wesley Publishing Company.

Herzberg, M. (1968). One more time: How do you motivate employees? Harvard Business Review, 46, 53-62.

Hollenbeck, J. R. & Brief, A. P. (1987). The effects of individual differences and goal origin. Organizational Behavior and Human Decision Processes, 40, 397-414.

Kren, L. (1992). The moderating effects of locus of control on performance incentives and participation. Human Relations, 45, 991-1012.

Krishnan, A. B., Shani, R. M., & Grant, R. B. (1993). In search of quality improvement: Problems of design and implementation. Academy of Management Executive, 7, 7-38.

Lawler, E. E. (1994). Total quality management and employee involvement: Are they compatible? The Academy of Management Executive, 8, 68-76.

Lawler, E. E., Albers Mohrman, S., & Ledford, G. E. (1992). Employee involvement and total quality management: Practices and results in Fortune 1000 companies. San Francisco: Jossey-Bass.

Lee, C. (1990). Interactive effects of "type A" behavior and perceived control on worker performance, job satisfaction, and somatic complaints. Academy of Management Journal, 33, 870-881.

Lefcourt, H. M. (1976). Locus of control. Hillsdale, NJ: Lawrence Erlbaum Associates, Inc.

Levenson, H. (1974). Activism and powerful others: Distinctions within the concept of internal-external control. Journal of Personnel Assessment, 38, 377-383.

Mitchell, R. T., Smyser, C. M., & Weed, S. E. (1975). Locus of control: supervision and work satisfaction. Academy of Management Journal, 18, 623-631.

Nowicki, S. & Duke, M. P. (1974). A locus of control scale for college as well as non-college adults. Journal of Personality Assessment, 38, 136-137.

Organ, D. W. & Greene, C. N. (1974). The perceived purposefulness of job behavior: Antecedents and consequences. Academy of Management Journal, 17, 69-77.

Pareek, U. (1992). Locus of control inventory. The 1992 Annual: Developing Human Resources, 135-148.

Pervin, L. (1985). Personality. Annual Review of Psychology, 36, 83-114.

Pryer, M. W. & Distefano, M. K. (1971). Perception of leadership behavior, job satisfaction, and internal-external control across three nursing levels. Nursing Research, 20, 534-537.

Rizzo, J. R. House, R. J. & Lirtzman, S. I. (1970). Role conflict and ambiguity in complex organizations. Administrative Science Quarterly, 15, 150-163.

Rotter, J. B. (1966). Generalized expectancies for internal versus external control of reinforcement. Psychological Monographs, 80, (1, Whole No. 609).

Rotter, J. B. (1975). Some problems and misconceptions related to the construct of internal versus external control of reinforcement. Journal of Consulting and Clinical Psychology, 43, 56-67.

Runyon, K. E. (1973). Some interactions between personality variables and management style. Journal of Applied Psychology, 57, 288-294.

Smith, P. C., Kendall, L. M., & Hulin, C. L. (1969). The measurement of satisfaction in work and retirement. Chicago: Rand McNally.

Spector, P. E. (1982). Behavior in organizations as a function of employee's locus of control. Psychological Bulletin, 91, 482-497.

Spector, P. E. (1986). Perceived control by employees: A meta-analysis of studies concerning autonomy and participation at work. Human Relations, 39, 1005-1016.

Sterling Institute (1972). THE NESTING BOX GAME. Washington, D. C.: Sterling Educational Network.

Trist, E. L., & Bamforth, K. W. (1951). Some social and psychological consequences of the Longwall method of coal-getting. Human Relations, 3-38.

Van de Ven, A. & Joyce, W. F. (1981). Perspectives on organization design and behavior. New York: Wily & Sons.

Vroom, V. H. (1960). Some personality determinants of the effects of participation. Englewood Cliffs, NJ: Prentice-Hall.

Wall, T. D., Kemp, N. J., Jackson, P. R., & Clegg, C. W., (1986). Outcomes of autonomous work groups: A long term-field experiment. Academy of Management Journal, 29, 280-304.

Creating Healthy Workplaces: A Model for Developing Corporate Wellness Programs

Michele A. Hamil
Northern Illinois University

The World Health Organization states, "A priority is to identify the possibilities for health promotion in the workplace and develop new approaches" (Kickbusch, 1989, p. 7). The results of a case study of an exemplary corporate wellness program combined with a review of literature and the researcher's experience form the basis for the following process to help human resource development practitioners create wellness programs in their workplace.

Experts believe the future of corporate health promotion is expanding due to multiplying medical costs, escalating international competition, and changing employee needs. Lovato, Green, and Stainbrook (1994) declare that the proliferation of wellness programs is inevitable. Citing increased health insurance costs to businesses, experts such as Davis-Colan (Chen, 1989b), Kizer (1987), and O'Donnell and Harris (1994) claim that reducing health problems through wellness programs rather than paying for the results of poor health makes good financial sense.

International competition is forcing American companies to refocus on critical aspects of business. As this happens, according to McGinnis (Chen, 1989a), American management will acknowledge that their most valuable resource is their employees, and that physical and mental health are prerequisites for peak performance. Evolving from this acknowledgment, worksite health promotion programs coupled with more participative management will create an optimal environment for increased productivity and enhanced quality of work life (Chen, 1989a).

People demand more out of their work today than in previous generations. Over the past several decades, sociologists and demographers have been monitoring fundamental changes in American values, especially as they relate to work. No longer is it enough for most employees to bring home a paycheck, they want work to fulfill other needs as well. As Maslow's (1968) hierarchy of needs represents, once employees' basic needs are met, their higher order needs are felt. Today's employees want to meet those higher order needs within the context of the workplace.

Yankelovich (1991) and others have called these new needs and values "expressive." Among their central aspects are the pursuit of autonomy, inner growth, self-expression, rejection of authority, and participation in decision making. Employees expect the workplace to support these values. Corporate wellness programs reflect these themes, and are a healthy way to adapt the workplace to employees' expressive needs and values (Sloan et al., 1987).

Davis-Colan predicts that in the near future worksite health promotion will become an active resource in every company's complete human resource management strategy (Chen, 1989b). As that happens, human resource managers will be called upon to create corporate wellness programs and address the policy and quality of life issues that support them.

To guide human resource professionals in creating corporate wellness programs, the following model was created. In-house wellness professionals and outside wellness consultants will both find the proposed model useful.

A Model for the Creation of a Wellness Program

The literature provides various guidelines regarding the development of successful wellness programs. Seidler (1993) suggests that notable corporate wellness programs involve the following components: needs assessment; employee interest survey; specific program goals and objectives; support of top management; corporate culture encouraging health promotion efforts; comprehensive, integrated program; respect and confidentiality; incentives for participation; easy access to the program and facilities; creative, innovative, fun; target at-risk populations; reach special populations; quality assurance mechanism; and program evaluation.

© *copyright, Michele A. Hamil, 1996*

Gebhardt and Crump (1990) report that development of successful wellness programs includes six common elements: 1) Establish written goals and objectives. 2) Assess worker needs. 3) Involve all levels and kinds of employees in planning. 4) Provide varied support internally and externally to promote the program. 5) Evaluate the program and process on an on-going basis. 6) Recruit employees for the program constantly.

Elements of success from these studies and other similar studies from the literature were combined with the results of a case study identifying the critical success components of an exemplary wellness program (Hamil, 1996), and the researcher's experience as an instructional designer to develop the following process for creation of a corporate wellness program.

Phase 1: Determine Appropriateness of a Wellness Intervention

The first phase of the model is an assessment to determine if developing a wellness program is the appropriate intervention to reach management's desired outcomes. To this end, information is obtained regarding general reasons why management wants a wellness program. Understanding the expected gains from implementing a wellness program is imperative in successfully evaluating the usefulness of a wellness program to reach those goals.

If management's goals are congruent with the types of outcomes a wellness program can provide, such as reduced health care costs, diminished stress, increased productivity, improved morale, and lower employee health risks, then the planning process can move into phase two in order to determine the organization's state of readiness for a wellness program.

If management's goals for the wellness program are not those that can be reached through health promotion activities, a wellness program should not be considered at this time. In this case, other change-promoting interventions may be suggested.

Phase 2: Assess the Organization's State of Readiness

In the second phase of the model, the organization's state of readiness to support wellness initiatives is assessed. In this analysis, management, participants and the corporate environment are studied to determine the level of support each will provide the company's overall wellness effort. It is difficult to create a healthy organization if its members are unhealthy, just as it is difficult for employees to maintain their health in an organization that behaves in unhealthy ways (Weinstein, 1989). Wellness programs require the support of management, employees, and most importantly the culture of the organization itself in order to champion healthy people and a healthy environment.

Evaluate Management Support Upper management backing and interest for health promotion is imperative in order to secure adequate funding of the wellness program initially and over time. Upper management is charged with the profitability of a company. Knowing that, the key to obtaining and maintaining upper management's support is showing the extent to which a wellness program can and does make a direct or indirect contribution to improving the bottom line.

Line management support is just as important as the approval of upper management (LaRock, 1994). Line managers directly supervise employees, and have the power to allow or disallow employees to participate in wellness activities. By upholding or creating healthful policies, line managers can remarkably increase participation in wellness activities.

Gaining line management support can be difficult because of the competing interests a line manager must balance. These people are responsible for meeting deadlines and quotas, and making sure the work meets quality standards. The way to gain their support is by showing them how productivity and quality increase when employees are allowed to participate in wellness activities.

Ascertain Employee Support Supportive management aside, employees themselves must be interested in participating in health promotion activities. The level of employee interest is determined by going directly to the employees. This can be accomplished

BEST COPY AVAILABLE

most effectively through an employee opinion survey or focus groups. (Surveys and focus groups determine the level of support for a wellness program, and can include more specific information on the types of programming in which employees would participate if a wellness program is adopted. Including information on specific employee interests is more time-consuming up-front, but will save surveying employees again later if the wellness program goes forward.) If employee are uninterested, educational programs can be offered to increase awareness of the benefits of being well. Wellness programs should not be mandated; therefore, employee interest is key to the success of a wellness program.

Appraise Corporate Environment Support An accurate assessment of the corporate environment is crucial in evaluating whether or not a company is ready to institute a wellness program. Preparing to create a healthy workplace requires assuming a systems approach: acknowledging that each worker is part of an open, dynamic system, affected by and acting upon internal and external environments (Weinstein, 1989). A corporate environment is influenced heavily by three factors: its policies, physical setting, and corporate culture. These three areas must support wellness activities in order to reap the benefits of health promotion efforts.

An assessment is made of the health enhancing policies the company has or does not have. A no-smoking policy supports efforts made by a wellness program. A flex-time policy boosts wellness program participation and empowers workers. Alcohol usage at company functions sends a signal that the company's environment condones unhealthy behaviors.

Along with a corporation's policies, its physical setting influences the work environment. Assessing how the physical setting supports a healthy workplace is an important part of determining how strongly health promotion activities will be supported by the organization. Positive indicators of a supportive physical setting include healthful foods sold in the cafeteria and vending machines; ergonomically engineered office desks and chairs; the absence of ashtrays and cigarette machines; clean, brightly-lit, and well-maintained work areas; and an effective safety program.

Corporate policies and physical environment help shape the nebulous concept of corporate culture. Corporate culture is comprised of the social systems and environments that exist within a company including at least five important concepts: 1) values--heartfelt beliefs about the appropriate way to approach living; 2) cultural norms--expected and accepted behaviors; 3) peer support; 4) organizational support--the systems and structures of an organization manifested through formal policies and informal activities; and 5) organizational climate--an organizational culture's capacity to bring about constructive change (Allen & Bellingham, 1994).

For the wellness philosophy to flourish, promoting the establishment of social systems and environments conducive to health-promoting behaviors is essential (Brehm, 1993). Among the most powerful of cultural influences affecting wellness are: modeling, reward systems, orientation, training, rites and rituals, and patterns of relationship development (Allen, 1993).

The Lifegain Health Culture Audit can be used to assess the underlying workplace culture. It is a tool for identifying those aspects of the culture which fail to support people's efforts to live healthy lifestyles. The Lifegain Health Culture Audit provides baseline data from which areas for change in the organization's culture can be identified and later measured to determine progress.

In assessing the corporate culture, the job itself cannot be ignored. Weinstein (1989) believes employers must pay more attention to the nature and structure of the work experience itself as part of a holistic wellness package. An assessment of the work experience includes studying three key variables: 1) The way the company is structured: Companies with flat structures support wellness activities better than vertical, bureaucratic structures. 2) Job design: Employees empowered to make decisions about their work are more inclined to healthy behaviors. 3) Expectations of good performance: Climates that reward people for consistent, excessive overtime, for example, are not supportive of healthy lifestyles.

Once an analysis of a company's policies, physical setting, and corporate culture is complete, results are objectively scrutinized to determine the level of support the corporate environment will provide a wellness program. If support in one or more of these areas is lacking, efforts should be made to increase these necessary support mechanisms before continuing to plan the wellness program. If support in these areas is impossible to obtain, a wellness program

should not be considered. When the corporate environment is supportive of wellness efforts, a health promotion program can then be designed.

Phase 3: Design the Program

The first and most important element in designing a successful wellness program is to determine a health promotion mission and vision, and set out specific wellness program goals and objectives.

The mission statement outlines the importance of the wellness program and what the program is to accomplish in the short term. The vision statement describes the long-term success of the wellness program. Most companies want to improve the health, well-being, endurance and productivity of employees, their dependents, and retirees. They also want to reduce costs associated with workers' compensation, disability claims, medical insurance, and absenteeism. Improved morale and company image are also commonly desired outcomes. Mission and vision statements will most likely revolve around these issues.

A written set of goals and objectives provides a specific sense of direction for program activities. In goal-setting, three types of objectives are usually established: 1) Performance goals deal with financial outcomes and changes in health behaviors. 2) Programmatic goals include workshop attendance, self-help material distribution levels, task-force participation, and other indicators of program success. 3) Cultural goals are created to make the corporate environment more conducive to wellness, and include development of specific health promotion values, norms, and peer support (Allen and Bellingham, 1994).

To create a mission, vision, and goals for a wellness program, a primary source of information is management's overall expectations of the program determined in phase one. Based on those expectations, an assessment of specific company needs is undertaken. This assessment includes an evaluation of external factors including competition, community, and national influences, as well as internal factors such as safety issues and insurance claims paid by the company. Areas of high cost to the company are targeted to achieve maximum savings early in the program's existence. Also necessary in establishing wellness program goals is an assessment of employee needs and interests, and information on available internal and community resources.

Following an assessment of the company, the employees' needs and interests are determined. Workers' health status is measured by a Health Risk Assessment (HRA) to identify dominant health problems in the employee population. HRA refers to "the initial or periodic determination of an individual's physical, mental, and/or emotional health status at a given point in time" (Heim, 1994, p. 219). HRAs can be as simple as screenings to determine blood cholesterol levels or as complex as comprehensive physical examinations at a doctor's office. The level at which a HRA is undertaken depends upon the type of information needed to focus wellness program development.

Along with their health needs, employee interests are determined. If employees were not surveyed regarding their specific wellness program interests during phase two, such an inquiry is completed at this point. All employees should be represented in the results of this effort.

The more a wellness program functions interdependently within the systems already created inside an organization, the fewer wellness program components will have to be created from the ground up, and the more ingrained wellness will become in the structure of the organization. Structural links between the wellness program and other health-related organizational functions are critical. It is important that a wellness program's goals be developed such that they are congruent with those of other corporate health-related initiatives. Developing a wellness program without reference to other health programs can result in duplication and/or inconsistency of effort. Long range plans that concurrently consider occupational health services and wellness programs should be developed (Seidler, 1993).

Links to the community can be especially important in maximizing a wellness program budget while still maintaining a commitment to high quality. Community resources such as Weight Watchers, hospitals, local health clubs, and community colleges can provide quality wellness services at low or no cost. Corporate wellness program goals should include mutually

beneficial interactions with the community. Once management objectives, organizational needs, employee needs and interests, and internal and external links are clear, a vision, mission, and set of specific short-term goals for the wellness program are articulated.

Plan the Wellness Program The vision, mission, and goals are the basis of a specific plan for creating the wellness program. A detailed and comprehensive plan includes the following actions: 1) Decide what programs will be offered. 2) Establish where programs will take place. 3) Plan who will run the wellness program and individual program initiatives. 4) Establish the policies and procedures under which the wellness program will operate. 5) Define how and when the program will be evaluated. Each of these decision-points is addressed below.

Decide What Programs will be Offered To begin planning a wellness program, determine what educational, exercise, recreational, family, health-assessment, and social opportunities will be offered on an on-going basis. Three major programming decisions center on 1) the desired level of impact of the program, 2) the desired intensity of the program, and 3) the topics covered by the program (O'Donnell, 1994).

The level of impact should be determined by the organizational goals the employer is trying to achieve as a result of the program. The most effective wellness programs offer employees the chance to improve their health and well-being through 1) awareness strategies which help employees recognize their need to change behaviors, 2) lifestyle change interventions that help employees change the behaviors they have identified; and 3) supportive environment programs which create favorable environments for change. Generally the greatest behavioral impact is made by lifestyle change and supportive environment programs, but awareness strategies are vital in creating a felt need to change. A mix of the three program-types based on the objectives of the wellness program is recommended.

Strong impact can also be made by targeting programs to at-risk populations--the 10 percent of employees who are responsible for 70 percent of medical care costs. Programming for this group has the potential to reduce medical care costs dramatically.

The level of intensity of the program is determined by the degree of success desired in program goals, the level of intensity needed to achieve success, and the health conditions and practices of participating employees. Level of intensity is compounded by increasing the quantity of resources invested, upping staff levels provided, and lengthening time spent by participants in a program. Increased intensity of a wellness program generally translates into increased success in meeting objectives.

Program topics will reflect the results of the goal setting process, and resonate a holistic attitude toward wellness. Plan to present topics in a combination of formats, including self management materials, classroom education, physical fitness training, and health screenings/assessments.

Establish Where Programs will Take Place Physical facility needs become apparent when the wellness curriculum has been decided. Research shows that participation is greater when a wellness facility is located at the place of employment rather than at an off-site facility. However, the benefits of increased participation must be weighed against the costs of building, renting or remodeling space at the worksite and the costs of maintaining a facility over time. Companies making a serious, long-term commitment to improve the health of their employees should provide on-site facilities if at all financially feasible.

Plan Who will Run the Wellness Program and Individual Program Initiatives Staffing decisions stem from the goals of the wellness program and the specific programs being offered. In general, health promotion professionals should run the wellness program. Ideally, these individuals have expertise in all of the following areas: organization theory; group process; operations management; communication and marketing methods; motivation techniques; design process; and clinical aspects of health promotion including health assessment, fitness, nutrition, stress management, smoking cessation, medical self-care, and social health (O'Donnell, 1994).

Another important consideration in staffing the wellness center is choosing people who embody a wellness lifestyle. One of the most powerful concepts in changing peoples' behavior involves modeling. If staff members consistently advocate positive health through their actions

and words, good health becomes a natural part of the environment (Anspaugh, Ezell, & Godman, 1983; Schaller, 1981).

Establish the Policies and Procedures Under Which the Wellness Program will Operate Procedures for operating the program are outlined during the planning process. Plans are devised to address procedures such as scheduling workshops, classes and events; promoting wellness and wellness activities; maintaining facilities; budgeting; registering and tracking participants; and managing equipment.

Policies guiding the operation of the program are also established at this time. Decisions are made regarding fees, hours of operation, participant code of conduct, confidentiality, and rules and regulations regarding use of facilities and equipment. Eligibility requirements and incentives to participation will also be decided.

The size of the wellness program and the method for selecting employees for the program is determined during the planning process. The program can be made available to all employees or only to selected employees. It can be offered to spouses, children, and significant others. Research shows that wellness program effectiveness compounds when all employees, retirees, and their families are all allowed to use the wellness program. Chenoweth (1995) states that programs must be directed to dependents, and retirees as well as employees, considering that dependents and retirees often consume twice as many health care dollars than employees.

Inclusionary policies not only save money, they also enhance the effectiveness of the wellness program. Lifestyle change, one of the most important goals of all wellness programs, requires the support of work groups and families. Including all employees and their families in wellness efforts helps them support each other through change. Maintaining positive lifestyle choices and fostering a wellness approach to living can only be achieved when there is support and encouragement by the surrounding environments (Weinstein, 1989; Powers, 1994).

When employees are provided incentives to take part in a wellness program, participation increases and with it, positive results of the program. Offering employees time during the workday to participate in wellness activities is an important incentive to participation. This can be accomplished by offering a flex time policy which allows employees control over their arrival, departure, and lunch times throughout the day to best accommodate wellness program participation. Another incentive to participation is to offer employees the opportunity to take part in wellness activities on company time.

Another incentive to participation in wellness activities is offering employees a rebate on insurance costs for good health. Such programs reduce an employee's cost for health insurance if agreed upon health goals are met and maintained. The benefits and costs of these incentives are weighed by the organization to determine whether or not they will be instituted.

Define How and When the Program will be Evaluated The evaluation plan is specified during the design phase. Decisions are made regarding what aspects of the program to evaluate, when to evaluate, how, by whom, and for what purpose. In making these decisions it is important to take into consideration that meaningful behavior changes can occur within six months of program initiation, but changes in health status lag behind considerably. Health outcomes may not be measurable for at least one to two years after program initiation. Evaluation is based on the wellness program goals determined in phase one, and includes process evaluation, impact evaluation, and outcome evaluation. Process evaluation assesses the process of the program; impact evaluation assesses the immediate effect on behaviors; and outcome evaluation assesses impact on quality of life and health status (Green and Kreuter, 1991).

Phase 4: Obtain Management Approval and Funding

Phase four of the model involves approaching management for approval and funding of the project. Along with the design plan, a budget for development and maintenance of the program (including insurance costs), and a cost/benefit analysis are submitted to management sponsoring the program. (If the cost/benefit analysis shows total benefits do not exceed total costs, the program as it is

planned is not a worthwhile investment, and the program design needs to be revised before submission to management.)

In presenting the proposal to management, the health promotion program is marketed as a long-term investment that will benefit the organization, not as an extravagant benefit for employees that can be cut when money is short. The ultimate goal of corporate health promotion programs is to make the organization better able to achieve its strategic goals is emphasized.

Phase 5: Implement the Plan

Once the design phase is complete and management has approved the budget, the plan can be implemented. In the implementation phase, all the plans developed in the design phase are carried out. This includes building, remodeling or renting a physical facility; developing creative, innovative, and fun educational and exercise programs and events, and creating self-management and reference materials. Hiring and preparing the staff is among the first and most important functions in implementing the plan.

Hiring and organizing people who will evolve into a strong health promotion team provides the leadership necessary for successful programming. During the staffing function, recruit and hire qualified job candidates, provide orientations to new employees, identify internal employees and arrange for them to join the wellness staff on a full- or part-time basis, train the staff in skills needed to achieve program goals, tailor employee's roles and responsibilities around program goals, and establish communication channels to enhance interpersonal and interdepartmental communication and teamwork (Chenoweth, 1995).

Phase 6: Conduct the Program

This phase marks the beginning of employees' participation in wellness activities. At this time plans made in the design phase are carried out: Educational and exercise programs are conducted, policies and procedures are enacted, self-study materials are made available, and events are mounted.

Actions to carry out, monitor, and maintain these activities are undertaken. These include promoting wellness activities to achieve increased participation, managing efficient systems for program operation and administration, maintaining the facility and equipment, monitoring the budget, continuing to develop the wellness staff through training and multi-dimensional roles, planning and staging special events, evaluating and revising individual classes and workshops, guaranteeing a high level of program quality, and providing regular information reports on health status and practices of each department.

Phase 7: Evaluate, Update, and Revise the Program

After the period of time specified during planning, the wellness program's effectiveness at meeting its stated goals and objectives are evaluated. Follow the decisions made during the planning process regarding the aspects of the program to be evaluated, how they are to be evaluated, by whom, and for what purpose.

Assess the results of the evaluation to determine strengths and weaknesses of the program. Establish the root causes of successes and failures of the various aspects of the program. Apply the program's success factors to improve weak areas of the program. Address ideas, and initiate plans to revise or replace failing programs. Every two years, the entire model will again be used to re-examine the wellness program to ensure that it keeps up with the changing needs of the company and employees.

References

Allen, J. (1993). Concepts in culture change. *Wellness Connections, 3*(1) 4-11.

Allen, J., & Bellingham, R. (1994). Building supportive cultural environments. In M. P. O'Donnell & J. S. Harris (Eds.), *Health Promotion in the Workplace* (pp. 204-216). Albany, NY: Delmar Publishing, Inc.

Anspaugh, D. J., Ezell, G., & Godman, K. N. (1983). *Teaching today's health.* Columbus, OH: Merrill.

Brehm, B. A. (1993). *Essays on wellness.* New York: Harper Collins.

Chen, M. S. (1989a). The most important influences in health promotion: Continuation of the panel discussion. [Interview with J. Michael McGinnis]. *Health Education, 20*, 34-35.

Chen, M. S. (1989b). The most important influences in health promotion: Continuation of the panel discussion. [Interview with Julie Davis-Colan]. *Health Education, 20*(4), 39.

Chenoweth, D. (1995). Getting the greatest bang for the buck. *Occupational Health and Safety, 64*, 25-26.

Gebhardt, D. L., & Crump, C. E. (1990). Employee fitness and wellness programs in the workplace. *American Psychologist, 45*(2), 262-272.

Goetzel, R. Z. (1994). Program evaluation. In M. P. O'Donnell, & J. S. Harris (Eds.), *Health Promotion in the Workplace* (pp. 118-159). Albany, NY: Delmar Publishers, Inc.

Green, L. W. & Kreuter, M. W. (1991). *Health promotion planning: An educational and environmental approach.* Mountain View, CA: Mayfield Publishing Company.

Hamil, M. A. (1996). *Creating healthy workplaces: A model for developing corporate wellness programs.* Unpublished doctoral dissertation, Northern Illinois University, DeKalb, IL.

Heim, C. (1994). Health assessment. In M. P. O'Donnell & J. S. Harris (Eds.), *Health Promotion in the Workplace* (pp. 219-239). Albany, NY: Delmar Publishers, Inc.

Kickbusch, I. (1989). Health promotion: A new approach at the workplace. In A. Kaplun & E. Wenzel (Eds.), *Health Promotion in the Working World* (pp. 5-7). Heidelberg, Germany: Springer-Verlag.

Kizer, W. M. (1987). *The healthy workplace: A blueprint for corporate action.* New York: John Wiley & Sons.

LaRock, S. (1994). Does wellness pay? Two employers say "yes"--and prove it. *Employee Benefit Plan Review, 49*, 51-54.

Lovato, C. Y., Green, L. W., & Stainbrook, G. L. (1994). The benefits anticipated by industry in supporting health promotion programs in the worksite. In J. P. Opatz (Ed.). *Economic Impact of Worksite Health Promotion.* Champaign, IL: Human Kinetics.

Maslow, A. H. (1968). *Toward a psychology of being* (2nd ed.). New York: Van Nostrand Reinhold.

O'Donnell, M. P. (1994). Employers' financial perspective on health promotion. In M. P. O'Donnell & J. S. Harris (Eds.), *Health Promotion in the Workplace.* Albany, NY: Delmar Publishers Inc.

O'Donnell, M. P. and Harris, J. S. (Eds.). (1994). *Health Promotion in the Workplace.* Albany, NY: Delmar Publishers Inc.

Powers, D. (1994). Understanding and working with an emphasis on wellness. *Thresholds in Education, XX*(1), 4-7.

Schaller, W. E. (1981). *The school health program.* Philadelphia, PA: Saunders College Press.

Seidler, S. M. (1993). The health project: Using model program data to design effective health promotion programs. *Compensation and Benefits Review, 25*, 30-37.

Sloan, R. P., Gruman, J. C., & Allegrante, J. P. (1987). *Investing in employee health.* San Francisco: Jossey Bass Publishers.

Weinstein, M. S. (1989). Lifestyle, stress and work: Strategies for health promotion. In A. Kaplun, & E. Wenzel (Eds.), *Health Promotion in the Working World* (pp. 13-20). Heidelberg, Germany: Springer-Verlag.

Yankelovich, D. (1991). *New rules.* New York: Random House.

Inside the Heads of HRD Practitioners: How Do They Plan?

Sharon J. Korth
Xavier University

This study examines the planning practices of five experienced HRD practitioners using qualitative research methods. Results indicate that subjects had similar mental models of the planning process, describing it as highly iterative and paradoxical. Common practices used to enhance planning are discussed as well as the influence of subjects' values and beliefs on their planning. The paper also explores implications for education, practice, and further research.

What do we know about the planning processes of HRD practitioners? How do HRD practitioners plan their interventions? What factors influence their planning? How do HRD practitioners' beliefs and theories of practice affect their planning processes? What could be the benefit of exploring answers to these questions?

This paper will discuss research that was conducted on the planning practices of HRD practitioners. Planning was selected as the focus of this study because it is a common practice across all HRD interventions. HRD professionals engage in planning activities whether they are internal or external and when they are designing training, facilitating groups, conducting a visioning meeting, resolving a conflict between individuals, or developing and implementing an HRD strategy in the organization. The purpose of this research is to look at the planning practices of HRD professionals independent of a particular HRD model or approach. The rationale is that the broader construct may help in the identification of similarities across the various types of HRD interventions. This information could be useful to other practitioners, researchers, theorists, and HRD educators.

Theoretical Framework

The theoretical framework from this research comes from several areas of study, including instructional systems design (ISD), human performance technology, and teacher planning. Research and study in ISD is resulting in new models as well as descriptions of what designers actually do in practice. Performance technology suggests different approaches to improving organizational effectiveness, which might require different planning strategies. A substantial amount of research has been conducted on teachers' planning practices which provides information that can be very useful to HRD researchers and practitioners. The intent of this study is to integrate learnings from several fields and add to the knowledge base on how HRD practitioners plan for their interventions

Instructional Design We are reexamining instructional design (ID) fundamentals and exploring alternative models influenced by constructivism, situated cognition, cognitive learning theory, general systems theory, chaos theory, performance technology, total quality management, and new technology (Jonassen, 1990; Richey, 1995; Seels, 1995; Tessmer & Wedman, 1995; Wedman and Tessmer, 1993; You, 1993). One change is that new ID models are describing the design process as less linear and more holistic, with tasks combined, repeated, or overlapped (Davies, 1995; Richey, 1995; Tennyson, 1995).

Recently, several studies have been conducted to identify what instructional designers actually do in practice. Pieters and Bergman (1995) found that designers used an integrated design

© *copyright, Korth, 1996*

process, with fluid boundaries between phases and activities within phases. Designers also indicated that preceding activities are frequently revisited during an iterative process. Wedman and Tessmer (1993) developed a Layers of Necessity Model after finding that designers frequently omit a variety of ID activities from their projects. Winer and Vazquez-Abad (1995) used this model in their study and confirmed previous findings that designers do not systematically perform all the steps in any ID model.

Rowland (1992) in his study of what instructional designers actually do, found that expert designers appeared to interpret and treat problems as ill-defined, used iterative design processes, and created knowledge-building cycles leading to problem-solving schemes. Perez & Emery (1995) studied differences in the thinking of expert and novice instructional designers given the same design task. One key finding was that experts spent considerably more time exploring the problem than novices. Experts *interpreted* the design problem - novices *identified* the problem. In addition, experts selected a design strategy before working out all the details of each phase of the design. Experts integrated, reiterated, and cycled through the design process, while novices exhibited a straightforward, step-by-step approach.

Performance Technology While many professionals have focused their studies on instructional systems design, others have taken a broader view, with ISD positioned as a subset of the larger field of performance technology. Performance technologists take a more systemic view of improving individual and organizational performance, looking carefully at the situation and identifying the cause(s) of the problem as a means of determining the appropriate solution(s) (Stolovitch & Keeps, 1992). As with ISD, this field is searching for new performance improvement models that can guide HRD professionals in the turbulent workplace environment (Rothwell, 1994). Robinson & Robinson (1995) have recently proposed a conceptual framework to help trainers move from traditional roles to that of performance consultant, which involves developing partnerships with management, identifying the performance required to meet business goals, working with management to do whatever is needed to enhance performance, and transitioning from a focus on training delivery to a focus on performance improvement.

Teacher Planning Extensive research has been conducted on the planning practices of teachers. Although there are differences between designing classroom instruction in a school system and designing interventions to help improve the effectiveness of organizations, there are similarities as well.

Numerous studies on teacher planning have revealed the teachers do not follow a rational, objectives-first planning model but begin by selecting or designing instructional activities (Brown, 1988; Clark & Lampert, 1986; Clark & Peterson, 1986; Yinger, 1980) or focusing on content (Zahorik, 1975). From the findings of his naturalistic research, Yinger (1980) developed a teacher planning model that is cyclical rather than linear. In addition, he proposes that each planning event can be influenced by prior planning and teaching experiences, and that, potentially, each teaching event feeds into future planning and teaching processes.

Elbaz (1981), in research on teachers' use of practical knowledge, describes how teachers hold and use their knowledge in distinctive ways; the results illustrate how teacher's knowledge is dynamic, held in an active relationship to practice and is used to give shape to practice. McCutcheon (1995) conducted similar research on how practical theories of action guide the decision-making processes of teachers, describing how teachers employ their practical theories to help them decide what to teach, how to motivate students, present ideas, and otherwise orchestrate lessons.

Although there are differences between the context in which teachers plan their lessons and HRD professionals plan their interventions, some of the findings and methods from teacher planning research can help inform work done by HRD professionals. Teacher planning research has attempted to bridge the gap between theory and practice, to identify what teachers actually do when they plan for their instruction. Instructional design research has explored the difference between theory and practice as well. This study focuses on the planning practices of HRD professionals, those who may be designing interventions in the training, career development, or organization development domains.

Research Questions

The general research questions explored by this study are:

1. What are planning processes of human resource development practitioners?
2. How are their planning processes influenced by their theories and beliefs?

The purpose of the research is to identify and describe these processes and relationships so that this information can be shared with others. The actions of HRD professionals are substantially influenced and even determined by their cognitive processes and their underlying theories and beliefs. By describing the mental lives of these professionals, this research attempts to increase our understanding of how and why the human resource development process looks and works as it does. This research will result in a portrayal or a model of cognitive processes of HRD planning that can be used by other practitioners, researchers, theorists, and HRD educators.

Methodology

A qualitative approach was used in this research because it is sensitive to the nature of the research focus, which involves describing the thinking processes as well as the underlying beliefs of HRD practitioners.

Sample The subjects of this research are five HRD practitioners who have substantial experience in designing and implementing training and organizational development interventions. All five have a masters degree in HRD or a related field. They have diverse experience in the types of organizations served (public, private, non-profit), types of interventions used (process consultation, group facilitation, training) and relationships with the clients (internal and external).

Data Collection A combination of qualitative methods was used in this study, including: formal and informal interviews (recorded on audiotape), the audio-recording of actual planning sessions, reporting on planning activities (audio-recorded), journal keeping, written documents or notes, cognitive/mind mapping, and model-building. The researcher worked with the subjects individually to establish the length and scope of the period under study as well as the use of the various research methods. Subjects D and E were business partners; some of their data collection occurred individually and other occurred jointly.

In general, the first round of data collection involved the subjects providing the researcher with basic information about their planning processes. These took the form of audio-recordings sent to the researcher or meetings between the subject and researcher which were audio-recorded. The time-frame for the first round of data collection averaged three to four months. The second round of data collection involved a two-hour audio-recorded meeting with each subject, where structured interview questions were discussed, where the subjects described an illustration they had created of their planning process, and where the subjects developed a model, or cognitive/mind map of their planning construct/process by arranging cards on which key words were written. The third phase involved the subjects responding to ideas, themes, hypotheses, etc., developed by the researcher and providing validation and clarification.

Data Analysis Data from this research were analyzed simultaneously and sequentially. From the data, patterns of thought and behavior were identified. These patterns were the foundation from which hypotheses were formed concerning the planning processes of HRD practitioners. These hypotheses were evaluated, revised, and refined through subsequent data collection.

Results

There were many common themes. The subjects had similar mental models of the planning process, they used comparable techniques to enhance the planning process, and they all discussed

how their actions were strongly influenced by their fundamental values, beliefs, and theories of practice.

Mental Models. The three key elements of the subjects' mental models of planning, although described in various terms, included discerning the desired outcomes, understanding the current situation, and designing a process to meet the needs. Subject B defined planning as "identifying the desired/hoped for outcomes and designing a set of actions and plans to get from present to the desired end." Subject A described the planning model as "...starting out with what we want to accomplish, where we are now, where do we want to be, and what do we have to do to get there." All of the subjects highlighted the collaborative nature of the planning process as well. For example, Subject C described "joint planning with the client (group) to determine what outcomes are desired, what has been tried before, and what barriers can be identified which could limit success. We co-develop purpose and expected outcomes."

Iterative Relationship Between Elements. The subjects described a strong iterative relationship between the elements in the planning model; Subject B used the word *organic.* According to Subject A, "It's all iterative, connected to generating solutions and developing solutions and strategizing approaches for implementation... I can't say that I sit down, when I'm planning anything, that I do steps one, two, three, four. Generally those are the steps: you want to know what your goal is and your rationale for wanting to achieve that goal, what's happening today, what's the difference, and how do you get from where you are to where you want to be. That's the general framework, but what happens in between is very iterative, it's envisioning different scenarios, and you talk to people and it changes, and all these things happen so on the surface it appears to be very chaotic but I think there is a system to it and that's why I like to think in system terms with whatever I'm working on."

The subjects described the process as ongoing; as information is obtained, it can help shape other elements. For example, Subject E explained that developing alternatives is a way of understanding the problem. Subject B discussed how work done on analyzing the present situation "further clarifies the outcomes or the desired scenario... Often I find myself redesigning, depending on what further information I get and what happens. It's design and redesign."

Paradoxical Nature of the Process. Subject B described a paradox in the planning process. "Chaotic and rational, it's both rational and chaotic. There's a tension." Subject A explained, "On the surface it looks very chaotic and I think the key is finding the patterns, the systems that can emerge from that. I'm not saying that we become so systematic that we're stifling growth and creativity, so you want to stay chaotic and still have some systematic approach to it."

Subject E concurred, "I think it's very rational, I mean I think what we're doing is a series of testing out hypotheses and theories, but it's not rational in a very linear sort of way." Subject D added, "I think that even though it's rational, it's also chaotic," to which Subject E responded, "And I'm trying to think, does it look chaotic or is it truly chaotic?" Subject D continued, "I don't know but I'd almost connect chaotic with holistic and that's where the chaos comes in; there are all of these thoughts and that's where it's part of the whole picture."

Enhancing the Planning Process. Many techniques were used to enhance the planning process including doing research, talking to others, journaling, reflecting on past experiences, and visualization. In addition to these, subjects explained, often through metaphors, how they drew upon their subconscious for insights and ideas. This phase came after obtaining information about the desired outcome and the present situation and tapping into resources for potential solutions.

Subject C called this process *letting it all stew in a slow boil*, explaining, "It's not a physical knock on the intuition but it just seems to happen for me. Once I let this rest and just sit there and bubble and stuff, then I might wake up two, ten days later or I might be driving down the street and I'll say, wow, oh boy, that's what I need and so it's either night dreaming or day dreaming that gives me a vision or a picture... It's sort of like I said, 'That would be nice to have,' and when I talk like that it's almost like telling my subconscious to send me something, so that's what this knock on the door (on intuition) is, but it's like I put things on hold and have this expectation that it's going to come to me sooner or later. I might wake up in the middle of

the night or I might be driving down the road or I might just be sitting and having a conversation or daydreaming, not paying attention to someone, but typically that's where I get my best ideas."

Subject B also used a pot-like metaphor to describe the creative process. "Well, probably ideas come to me in the *percolation* process and in the journaling that I do. I often will journal in the preparation or in the past, if I have a three-day event and something breaks down in day one then I'm saying I need to do something different in day two. Now where's that idea going to come from? Well, it comes best when I take time that evening that first day to journal and read. So I'll pull out a book and then I'll journal and then often I'll run - I will usually walk or run and get some exercise every night if I can while I'm working and usually at some point the idea will come at least to test or try. The other source are dreams. I've literally had dreams where I woke up and if I had the time to analyze it or write it down, say aha, that's what's going on or that helps me out for what I want to suggest today or what I want to do today."

Independent of the others, Subject E also developed a pot-related metaphor to describe the creative part of the planning process, explaining, " The first thing that is important when we're going through a beginning stage of a process is to assess the client's felt needs - what they're telling us they need, versus what we think we're hearing under those words and all that. We're creating sort of the form of the intervention, so is it a training thing, or is it something where we need to do a lot more assessment before we can see the ultimate form. It's like we were *throwing ideas into the pot*, so there's D's and E's sum knowledge, experience, creative flashes, new client data, sort of keeping that all going, stirring it up. It's almost like dropping pebbles into this which I call the design potential. And we do it in weird ways, so eventually either enough pebbles get into this or this big flash just happens and then that flows and the substance of the intervention begins to fill this up until we finally get the whole intervention."

After arranging cards in a manner to illustrate their planning process, Subject D explained, "You know it's interesting as I look at this I understand why we get stressed. Because when we aren't allowed the time to do this (iterating, reflecting, collaborating, designing, making decisions) it makes me stressed." Subject E added, "Well, there's that and when we have multiple things we're doing it for. That's when it's maximum stress for me because this beginning phase is very loose and you forget what bucket you're dropping the pebbles in. I think we're at risk for putting or using a pebble in two buckets it doesn't really belong in because we just dropped it here and so maybe it also clicks it there but we haven't done enough of this other stuff (iterating, reflecting, collaborating, making decisions)."

How Values, Beliefs, and Principles of Practice Influence the Planning Process. In their explanations about their planning and consulting practices, the subjects continuously referenced their underlying values, beliefs, and principles of practice. Some common beliefs, although not stated exactly in these terms, were the value of working collaboratively with the client and building ownership, the significance of process, and the importance of learning, growth and development in the intervention.

Collaboration and Ownership. Collaboration and ownership were often described in relation to each other. For example, Subject B explained, "My role, and this also has to do with one of my core values, has to do with providing design alternatives, so in doing that I'm always striving to get the client to choose from alternatives. It has the benefit of two things. One, to see if they're serious about this, that they would be willing to do the work to choose, and two, once they choose, even though it's my design, it's their design. It goes back to the ownership thing. I'm at my best when I can truly collaborate in designing something and the tricky part of that is with the client, but the more that I can do that, the better I feel and the more I get back to the ownership thing."

Process. Subjects described the importance of process, which plays out in the planning and implementation of interventions. Subject D stated, in reference to teambuilding interventions, "We realize that what we do is less important sometimes. We want to make sure that what we designed doesn't get in the way of the process. Subject E added, "There needs to be enough of a process there that they're not questioning or rebelling or sort of pulling back but they can stay engaged and have meaningful discussions - but they could have probably gone about doing that

ten different ways."

Subject B explained, "I guess one of the four biggies, as far as fundamental assumptions that I work out of is that process is more important than the product. Because as I look at this I say, what about the product? Is that important to me? Probably less so in the sense that when I think about the products that tend to get generated with the stuff I do, the products tend to be less significant to the development of the organization than the process. The mission statement is put on the shelf and never looked at again. The strategic plan gets put on the shelf... The result for me is ownership and commitment, sense of collaboration, sense of freedom. These are results, outcomes, as important to me as the product, the mission statement or three decisions on an issue."

Learning, Growth, Development. All subjects discussed the importance of learning, growth, and development in their interventions, however, the implementation took various forms. In some cases the plans were very explicit, as in training interventions. In some instances the teaching or coaching was more implicit or even covert. Subject B explained, "If I'm doing work with a group doing strategic planning or even group decision-making processes, facilitating those, a part of what I try to do is sneak in or very formally if they allow, training about some of the processes that we're going to use."

Subject C said, "They may be getting some of this teambuilding training, this 18-24 hour training and not know it. They know that these two hours every other week are focused on their skills and behaviors whereas this other is covert, almost subversive on my part. I'm simply facilitating on the spot and helping them remember what I did... So I try to be very Socratic and to fold back in the learning. Every chance I get, I fold back in and reinforce the learning."

Subject A, who is internal, explained, "A lot of my work revolves around helping people learn how to learn... So I guess another one of the planning - nitty gritty planning things that I do - not only learning how to learn but helping the organization become a learning network where there's sharing of best practices and learning from one another and not reinventing the wheel with 42 different locations... So it's kind of a spoon feeding, water dropping kind of approach; give them a little bit here and there to get them moving in that direction without saying that's what we're doing."

Discussion

The planning practices of HRD practitioners examined in this study bear similarities to research, theories, and models being developed in the areas of instructional design, teacher planning, and performance technology. The subjects' mental models of the planning process, iterative, chaotic, and organic as well as rational and somewhat systematic, are consistent with the research on instructional design practices which indicates that the process is more holistic than linear. Also, the results support Rowland's (1992) and Perez and Emery's (1995) findings that expert designers treat problems as ill-defined and create knowledge-building cycles which lead to problem-solving strategies. Parallels to research on teacher planning were found as well. The HRD practitioners in this study used a cyclical problem solving approach to designing their interventions and illustrated how their values, beliefs and practical theories of action shaped their practice. The subjects took a broad view of their potential solutions to the problem and spent considerable energy trying to understand and clarify the situation and the desired outcomes. This is consistent with performance technology models which outline a systemic approach to improving individual and organizational effectiveness. The collaborative nature of the process, as described by the subjects, was congruous with the performance consultant role described by Robinson and Robinson (1995).

There are a number of limitations to this study. It involved only five subjects and included a substantial amount of self-report data. Other studies should be conducted with a greater number of subjects and include more data from actual planning sessions, either case studies or real. These limitations acknowledged, the results provide a view of the planning process that offers some new perspectives. These include the role of the HRD practitioner in integrating all

of the elements of the problem-solving process and techniques used to maximize the creative, intuitive part of the process.

As a result of this study, a new planning model for HRD practitioners is envisioned. It looks like a three dimensional molecular model, with all of the pieces interconnected, suspended in the client system of the organization. The center is the knowledge, experience, resources, values, and principles of practice of the HRD practitioner. The other parts of the model are: discerning the desired outcome, understanding the current situation, and exploring potential solutions. A model in this format shows the inter-relationships of the elements, the iterative nature of the process, and the immersion in the client system.

To illustrate the creative process, beams of light move around within this molecular model, sometimes moving quickly, sometimes slowly. These beams illustrate how information and thoughts affect other parts of the model as well as the importance of having time for these ideas to percolate, boil, or bounce around. These beams of light will eventually either stop or explode in a bright flash, indicating that the preliminary form of a process or intervention has been shaped. That preliminary form will be modified and adapted as more information is obtained and as the design is worked in more detail. This ongoing design process of filling in the form with the substance of the design continues throughout the intervention.

Implications

Implications can be drawn from this study for education, practice, and research. Practitioners could better comprehend their own decision-making processes by surfacing and articulating their values, beliefs, and theories of practice. This would include developing their own model of their planning process, making it explicit so that it could be understood and refined. Novices could be provided opportunities to study the planning practices of others and shown how values, beliefs, and theories of practice influence the process. They could also be provided experience in planning or designing interventions in case study or real-life situations with the guidance of an experienced practitioner who can explain the thought processes behind the decisions. Novices could be encouraged to develop their own model of the planning process as they observe others and gain personal experience. In addition, novices as well as experienced practitioners should have a heightened awareness of the iterative nature of the planning process and the importance of allowing time for the iterations and intuition to be maximized.

This was a very preliminary study on the planning practices of five experienced HRD professionals. Further research is warranted on the differences between experts and novices in their planning as well as on the iterative nature of the process. How does that iterative process work? What factors influence it? Are there any patterns? This research also calls for additional study around techniques to enhance the creative nature of the process. What makes one technique more effective than another? What is the optimal time or workload for the intuitive process? What are the consequences of planning in a less than optimal situation? Finally, more study, theory or model building would be helpful in distinguishing between and/or integrating the components of HRD (training, career development, organization development). What are the similarities and/or differences in the approaches, processes, and outcomes of these types of interventions? What are the implications for planning and design? Is it important that HRD practitioners be experienced in all three areas in order to accurately determine needs and solutions?

This research raised more questions than it answered. In studying the planning practices of HRD practitioners, parallels were found between current theory and research in the areas of instructional design, performance technology, and teacher planning. This study highlighted the important role of the HRD practitioner in integrating information to enhance organizational effectiveness and the influence of their values, beliefs, and theories of practice. Furthermore, it illustrated the importance of maximizing the creative, intuitive part of the planning practice and of allowing time for the iterative nature of the process to work.

References

Brown, D. (1988). Twelve middle-school teachers' planning. The Elementary School Journal, 89, 69-87.

Clark, C., & Lampert, M. (1986). The study of teacher thinking: Implications for teacher education. Journal of Teacher Education, 37(5), 27-31.

Clark, C., & Peterson, P. (1986). Teachers' thought processes. In M. C. Wittrock (Ed.), Handbook of research on teaching (pp. 255-296). New York: Macmillan.

Davies, I. K. (1995). Reinventing ISD. In B. B. Seels (Ed.), Instructional design fundamentals: A reconsideration (pp. 113-135). Englewood Cliffs, NJ: Educational Technology.

Elbaz, F. (1981). The teacher's "practical knowledge": Report of a case study. Curriculum Inquiry, 11(1), 43-71.

Jonassen, D. H. (1990). Thinking technology: Chaos in instructional design. Educational Technology, 30(2), 32-34.

McCutcheon, G. (1995). Developing the curriculum: Solo and group deliberation. White Plains, NY: Longman.

Perez, R. S., & Emery, C. D. (1995). Designer thinking: How novices and experts think about instructional design. Performance Improvement Quarterly, 8(3), 80-95.

Pieters, J. M., & Bergman, R. (1995). The empirical basis of designing instruction. Performance Improvement Quarterly, 8(3), 118-129.

Richey, R. C. (1995). Trends in instructional design: Emerging theory-based models. Performance Improvement Quarterly, 8(3), 96-110.

Robinson, D. G., & Robinson, J. C. (1995). Performance consulting: Moving beyond training. San Francisco: Berrett-Koehler.

Rothwell, W. J. (1994). Performance technology: Isn't it time we found some new models? 1995 Conference Proceedings of the Academy of Human Resource Development, 9-1.

Rowland, G. (1992). What do instructional designers actually do? An initial investigation of actual practice. Performance Improvement Quarterly, 5(2), 65-86.

Seels, B. B. (Ed.). (1995). Instructional design fundamentals: A reconsideration. Englewood Cliffs, NJ: Educational Technology.

Stolovitch, H., & Keeps, E. (1992). Handbook of performance technology: A comprehensive guide for analyzing and solving performance problems in organizations. San Francisco: Jossey-Bass.

Tennyson, R. D. (1995). The impact of the cognitive science movement on instructional design fundamentals. In B. B. Seels (Ed), Instructional design fundamentals: A reconsideration (pp. 113-135). Englewood Cliffs, NJ: Educational Technology.

Tessmer, M., & Wedman, J. (1995). Context-sensitive instructional design models: A response to design research, studies, and criticism. Performance Improvement Quarterly, 8(3), 38-54.

Wedman, J., & Tessmer, M. (1993). Instructional designer's decisions and priorities: A survey of design practice. Performance Improvement Quarterly, 6(2), 43-57.

Winer, L., & Vazquez-Abad, J. (1995). The present and future of ID practice. Performance Improvement Quarterly, 8(3), 55-67.

Yinger, R. (1980). A study of teacher planning. The Elementary School Journal, 80(3), 107-127.

You, Y. (1993). What can we learn from chaos theory? An alternative approach to instructional systems design. Educational Technology Research and Development, 41(3), 17-32.

Zahorik, J. A. (1975). Teachers' planning models. Educational Leadership, 33(2), 134-139.

Instructional Thoughts of HRD Practitioners

Theodore Lewis
University of Minnesota

This study examined the thoughts of a sample of HRD practitioners, seeking to determine the extent they were congruent with mainstream educational conceptions of teaching and learning. Findings revealed that the instructional thoughts of the practitioners were mediated by concerns for organizational productivity. Both humanistic and coporatist values informed their beliefs.

Instruction lies at the heart of the HRD function. In many senses, trainers have a task no different from classroom teachers, or college professors. They must teach subject matter knowledge, processes and procedures, while striving to enhance the knowledge, skills and attitudes of their trainees. Despite the fact that training substantially means teaching, the field of HRD pays substantially less attention to the professional preparation of trainers than does the field of teaching for its practitioners. Indeed, there is no agreement on what constitutes the minimum professional preparation that a trainer must have undergone as a prerequisite for practice. Entry into the profession is unregulated.

Another observation one can make with respect to differences between the professions of teaching and training is in the nature of their respective discourses. These discourses are shaped by the circumstances of the two groups. Trainers are hired to improve the productivity of workers--teachers are hired to prepare students for citizenship. These are very different briefs. Teachers have a far off horizon. Trainers have more immediate obligations.

There does exist a discourse on instruction within the context of training, but the mechanisms for connecting thought with practice are not as well formed as in teaching. Part of the reason for this is that trainers often concede to not being subject matter specialists. They are prepared to forfeit such claims. Thus, domain specific discourse on instruction is absent. There is no counterpart to discourses related to the teaching of reading, math, or science.

Problem:

The problem of this study was that little is known about the instructional thoughts of trainers. The basic instructional culture of HRD has been little examined.

Purpose

The purpose of the study was to seek understanding of what where the strong instructional preferences of HRD practitioners and whether these tended toward mainstream conceptions of teaching and learning, or whether they appeared to be peculiar to trainers, conditioned by their work circumstances.

Research questions

Research questions set forth for this study included the following:
a. Are the instructional preferences and values of HRD practitioners consistent with mainstream educational theory?
b. In what ways are the instructional thoughts and preferences unique or peculiar, given what we know about teaching and learning?

Literature review

© *copyright, Theodore Lewis, 1996*

Teaching is difficult. What works in one classroom cannot always be expected to work in the next. What works today with one group of students or trainees may not work with that same group the next day, or with a similar group at another time. The good teacher must exercise judgement consistent with the circumstances of the moment.

In their review of research on teachers' pedagogical thoughts judgement and actions, Shavelson & Stern (1981) set forth a framework which showed that the choices teachers make in the classroom are a product of antecedent conditions, professional characteristics, teacher cognitive processes, consequences for teaching and student learning, and teacher evaluation of their teaching.

Zahorik (1986) identified three conceptions of good teaching (a) a science-research conception, which conceived of good teaching as doing what effective teachers do, (b) a theory-philosophy conception, which viewed good teaching as implementing philosophical and theoretical models of teaching, and (c) an art/craft conception which viewed good teaching as being resourceful and creative. Upon reviewing these three conceptions, he concluded that the first two (science-research, and theory-philosophy) probably belongs in pre-service teaching, and that the third, art-craft should be emphasized during in-service teaching.

Eisner, probably more than others, has been the chief advocate of teaching as art and craft. Rejecting the notion of teaching as science, Eisner posits that teaching is governed by rules of thumb not hard and fast rules. He asserts that "skilled teaching requires the ability to recognize dynamic patterns, to grasp their meaning, and the ingenuity to invent ways to respond to them" (p.9). Teaching "is typically too dynamic for the teacher to stop in order to formulate hypotheses or to run through a series of theories..." p.10. Teachers must read classroom cues and think on their feet.

In like vein, Rubin discussed the question of "pedagogical intelligence," which entailed "not only a consummate understanding of the classroom milieu but also a prescience which evolves over time. The ability to "read" the early signs of frustration, to recognize cause of apathy, to anticipate student boredom, and to circumvent learning impediments..."(p 33). He distinguished between autonomous teachers who "make their own instructional decisions and base their teaching on the requirements of the particular teaching situation" and "prescriptive" teachers who follow rules and procedures.

The many things that good teachers do in the classroom have been deemed by Shulman (1987) to be pedagogical content knowledge--"that special amalgam of content and pedagogy that is uniquely the province of teachers" (p.9). Teaching is a learned profession. Teachers must understand "the structures of subject matter, the principles of conceptual organization, and the principles of inquiry" (p.9) attending their domain of practice. Shulman speaks of "the wisdom of practice." Within recent times, such wisdom is felt to be a manifestation of reflective practice (e.g. Liston & Zeichner, 1987; Sparks-Langer & Colton, 1991).

Examination of the HRD literature shows that a decided share of it focuses on instruction, with particular concern for issues relating to instructional materials and instructional design (e.g. Trip, 1994; Chinien & Boutin, 1994; Clement, 1990; Polak, 1990; Gendelman, 1991; and Jonassen, Grabinger, & Harris, 1990). Jonassen et al outline a range of instructional tactics that draw on some of the more promising instructional theory, including the works of Gagne & Briggs, (1979).

Also significant in the HRD discourse is an adult learning theory focus (e.g. Zemke & Zemke 1988), with some particularly the andragogical ideas of Malcolm Knowles (1984). It is not clear though whether the disposition to these ideas is critical in nature, as Pratt (1988) suggests it should, or whether it is an accepting one.

Method

A "culture of training survey" instrument consisting of 110 items was developed, drawing on instructional ideas derived from the literature as reviewed above. A ten-point Likert-type scale ranging from "weak" to "core" was employed for all items. The instrument was comprised of five sections, focussing on the following (a) beliefs about the nature of training (b) beliefs about

capabilities trainers should possess to be successful in the training room (c) beliefs about what are important outcomes of training (d) beliefs about adult learners and about adult learning, and (e) beliefs about what constitutes good training strategies and practices. A panel of three HRD practitioners independently critiqued the instrument. Their suggestions were taken into account in refining it. Since this was a uniquely created instrument, it was felt that the study itself would yield information as to its psychometric soundness.

A random sample of 350 HRD practitioners drawn from the American Society of Training & Development (ASTD) directory of the metropolitan area of a mid-Western state were surveyed. After three mailings, 187 usable returns (53.4%) were realized. Comparison of early and late respondents did not reveal any significant differences. Examination of demographic data showed that non-respondents had a profile no different from respondents. It was thus inferred that the non-respondents were not outliers. Reliability analysis of the returns yielded alpha=.95.

Data for each of the five sections of the survey were factor analyzed. Only factor coefficients of .40 and higher were considered. Only the first factors, and those that added significant increments of variance beyond it were examined.

Results

Nature of training The first section of the survey required subjects to indicate the extent to which each of 14 items was consistent with their beliefs regarding the nature of training. Factor analysis of their responses yielded a four factor solution that explained 59.9% of variance. The first factor explained 27.9% of variance, based on the coefficients of five items, as follows:

The job of the trainer is to help workers become better learners	.73
The trainer's job is to help workers to realize their fullest potential	.76
An important purpose of training is to keep workers intellectually challenged	.74
A purpose of training is to improve the desire of workers to continue learning	.85
Training should help workers become more thoughtful practitioners.	.55

Taken together, these items coalesced to reflect a humanistic conception of the nature of training. They have to do with enhancing the individual as opposed to productivity per se, or profit making. These were not the items with the highest means, but what factor analysis seeks is structure. Thus, the factor was named HUMANISM.

The second factor explained 14.8% of variance and was comprised as follows:

The job of the trainer is to help the organization/client offer a better service/product	.53
The test of the content of training	.72

programs should be workplace relevance

Trainers should keep their sights on the bottom line	.67
A purpose of training is to help remedy deficiencies in worker knowledge and skills	.53

Different from the first factor, this second factor focussed upon workplace efficiency, and was named CORPORATE. When juxtaposed, these two factors highlight a basic tension, between a concern for individual growth, but with an eye on the bottom line.

Capabilities trainers should possess The second section of the survey (17 items) focussed on capabilities that the respondents felt are needed by trainers to be successful in the training room. Factor analysis yielded a six factor solution, explaining 65.1 % of variance. The first of these factors was dominant, with six items explaining 38.6% of variance. These items and their coefficients were as follows:

(a) ability to pace instruction	.73
(b) ability to develop and use lesson plans	.78
(c) ability to use instructional media	.75
(d) Ability to find alternative ways to present content	.55
(e) ability to make judgements about the fitness of material to be taught	.46
(f) ability to simplify ideas	.52

When compared with other factors in this solution, this one was named BASIC SKILLS. It seemed to reflect critical minimums needed by practitioners who had instructional responsibilities.

Adult learners and adult learning The third section of the survey (18 items) focussed on beliefs about adult learning. This section resolved into a five-factor solution explaining 60.5% of variance. The first factor accounted for 25% of variance. It consisted of five items, shown next with their respective factor coefficients:

Adult learners vary in the extent to which they are self directed	.52
Adults vary in terms of the amount of relevant prior knowledge they bring to the classroom	.54
Adults vary in their temperaments (some are introverts others are extroverts)	.87
Adults vary in their learning styles	.89
Adults go through life cycle changes	.76

The latent theme of this factor clearly was that adult learners vary on a number of attributes and dispositions. They do not constitute a monolith. Thus it was labelled INDIVIDUAL DIFFERENCES. It was consistent with the critique of the idea of andragogy as set forth by Pratt (1988).

The second factor explained 11.9% of variance. Four items constituted this factor as follows:

Adults are interested in learning only when they can see its applicability in their day to day lives.	.67
Adults become ready to learn when some life experience dictates that they are	.67
Adults prefer content to be organized around life tasks. For example, they prefer to write business letters than essays	.75
Adults need to know why they should learn something	.81

This factor was labelled EXPERIENCE because it dwelled on existential factors relating to the lives of adults.

The third factor explained 10.5 % of variance. It consisted of four items, as follows:

Adults wish to evaluate their own learning	.53
Adult learning is goal directed	.55
Adult learners know what they want from instruction	.78
Adults dislike teacher centered classrooms	.77

The latent theme of this factor was consistent with standard adult learning theory as set forth by advocates such as Malcolm Knowles. It was labelled ANDRAGOGY. Different from the first factor, these items tend to view adults as a monolith.

Outcomes of training The fourth section of the survey (19 items) focussed upon trainees' beliefs regarding important outcomes of learning. The analysis yielded a four-factor solution, explaining 67.7% of variance. The dominant factor explained 43.4% of variance. It's items and their coefficients were as follows:

Trainees demonstrate good work attitudes	.68
Trainees embrace workplace values such as punctuality	.75
Trainees subvert individual needs for the good of their coworkers	.68
Trainees develop greater commitment to their job	.79
Trainees develop greater commitment to their careers	.71
Trainees understand who their internal customers are and what are their needs	.56

This factor was named WORKPLACE COMMITMENT, consistent with what appeared to be its underlying theme. The company took precedence over the individual.

The second factor was named LEARNING/APPLICATION, consistent with its latent theme. Here there was valuing of practical manifestations of instruction. Items and there coefficients were as

follows:

Trainees learn and can apply rules and formulas	.69
Trainees learn and can demonstrate work processes and procedures	.67
Trainees can immediately use what they learn back on their jobs	.76
Trainees can see connections between classroom learning and situations they may confront in the workplace	.63
Trainees understand company expectations better	.55
Trainees understand their roles better	.55

Good training practices When data for the fifth section (33 items) of the instrument (good training practices and strategies) were factor analyzed, they yielded a seven factor solution explaining 68.3% of variance. Again, there was a dominant first factor, explaining 39.2% of variance. Five items were important here, as follows:

Use simulations	.52
Utilize the lecture where appropriate	.66
Utilize the discussion where appropriate	.83
Utilize the demonstration where appropriate	.79
Utilize case studies where appropriate	.81
Utilize computer-assisted methods where appropriate	.55
Utilize games	.42

This factor was deemed MACRO STRATEGIES. The emphasis was on mastery of a core of basic methods. The second factor explained 7.4% of variance. Items in that factor had to do with MICRO-STRATEGIES, that were consistent with learning and instructional theory, as follows:

Proceed from familiar to unfamiliar content	.42
Provide an advance organizer to establish a conceptual frame for the lesson	.56
Adapt the content to learner preferences	.42
Help learners create concept maps	.83
Help learners create content outlines	.86
Help learners analyze key ideas	.71
Have a deliberate strategy for sequencing content	.40

This second factor included items that required a degree of sophistication in ones outlook as a trainer. It required depth of familiarity with mainstream conceptions of classroom practice.

Summary Respondents in this study viewed the nature of training along relatively discrete humanistic and corporate lines, with humanism the more organized and stronger value. They valued overt, macro-level capabilities (developing lesson plans, pacing, using media) over micro level strategies or classroom tactics. They viewed adults in individualistic rather than group terms. They valued organizational impact of training over other impacts. They valued overt teaching and training methods (lecture, discussion, demonstration) over more understated methods (such as using concept maps, or ability to sequence content).

Conclusion and reflection

This study sought to probe the instructional thoughts and preferences of HRD practitioners. The extent to which these practitioners valued mainstream educational conceptions of instruction was explored. It was surmised that the circumstances of training would mediate their beliefs. The results indicated that there was tension between a concern for individual growth, and the need for commitment to the organization. At an abstract level, humanism prevailed, but at a concrete level, corporatism prevailed. As to instructional strategies, while more educationally sophisticated options were valued, more basic options relating to the day-to-day were preferred--lesson plans over concept maps. An interesting finding was that an eclectic rather than a monolithic view of the adult learner was evidenced.

The findings of this study show that HRD practitioners take cognizance of the needs of their trainees, and value the idea of their individual differences and their need to grow. But their thoughts ultimately are mediated by the constraining factor of the bottom line.

References

Chinien, C. & Boutin, F. (1994). A framework for evaluating the effectiveness of instructional materials. *Performance & Instruction*, 33(3), 15-17.

Clement, F. (1990). Accelerated learning models and techniques. *Performance & Instruction*, 29, 39-43.

Eisner, E.W. (1983). The art and craft of teaching. *Educational Leadership*, 40(1), 5-13.

Gagne, R.M. & Briggs, L.J. (1979). *Principles of Instructional Design*, New York:Holt, Rhinehart, & Winston.

Gendelman, J.(1991). Practice makes perfect. *Performance & Instruction*, 30, 24-25.

Jonassen, D.H., Grabinger, R.S., & Harris, N.D.C. (1990). Analyzing and selecting instructional strategies and tactics. *Performance Improvement Quarterly*, 3(2), 29-47.

Knowles, M.S. (1984). Andragogy in action:Applying modern principles of adult learning, San Francisco: Jossey bass.

Liston, D.P. & Zeichner, K.M. (1987), Reflective teacher education and moral deliberation, *Journal of Teacher Education*. 38(6), 2-8.

McAlpine, L. & Weston, C. (1994). The attributes of instructional materials. *Performance Improvement Quarterly*, 7(1), 19-30.

Polak, C.A. (1990).Variety is the key to learning experiences. *Performance & Instruction*, 29, 30-31.

Pratt, D.D. (1988). Andragogy as a relational construct. *Adult Education Quarterly*. 38(3) 160-181.

Rubin, L. (1989). The thinking teacher:Cultivating pedagogical intelligence. *Journal of Teacher Education*, 40(6), 31-34.

Shavelson, R.J. & Stern, P. (1981). Research on Teachers' pedagogical thoughts, judgements, decisions, and behavior, *Review of Educational Research*, 51(4), 455-498.

Shulman, L.S. (1987). Knowledge and teaching: Foundations of the new reform. *Harvard Educational Review*, 57(1), 1-22.

Sparks-Langer, G.M., & Colton, A.B. (1991), Synthesis of research on teachers' reflective thinking, *Educational Leadership*,, 48(6) 37-44.

Trip, S.D. (1994). How should instructional designers be educated? *Performance Improvement Quarterly*, 7(3), 116-126.

Zahorik, J.A. (1986). Acquiring teaching skills. *Journal of Teacher Education*, 2, 21-25.

Zemke, R. & Zemke, S. (July, 1988). 30 Things we know for sure about adult learning. *Training*, 57-61.